

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE

Schedule No.
1756

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Agency

University of Maryland

Division/Unit

University College

Item
No

Description

Retention

Attached is the Records Retention and Disposal
Schedule for University of Maryland University
College.

Approved by Department, Agency,
or Division Representative.

Date May 16, 1995

Signature *Vida Bandis*
Vida Bandis

Type Name _____

Title Executive Vice President

Schedule Authorized by State
Archivist.

Date 10/31/85

Signature *Edward C. Pappas*

Signature _____

UNIVERSITY OF MARYLAND UNIVERSITY COLLEGE

**RECORDS RETENTION
AND
DISPOSAL SCHEDULE**

Cover page

UNIVERSITY OF MARYLAND UNIVERSITY COLLEGE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
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100 Series - GENERAL CORRESPONDENCE

| | | | |
|-----|--|---|--------------------------------|
| 101 | <p><u>GENERAL FILES</u> (Alpha, Subject, Administrative and Chronological Correspondence) Maintained by all departments at all Institutions, these files contain internal and external, original incoming and copies of outgoing correspondence, reports, memoranda, statistics, proposed programs, minutes, policy and procedure statements, special projects, and substantive data concerning the operation of the office that maintains it.</p> | <p>Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value related to the development of the agency to be microfilmed or kept in paper by the Office of Record for 25 year retention, then destroy.</p> | <p><u>All</u> departments.</p> |
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| 200 Series - CAPITAL/FACILITIES PLANNING/PHYSICAL PLANT | | | |
| 201 | <u>CONSTRUCTION AGREEMENT CONTRACTS</u> <u>ARCHITECTURAL ENGINEERING CONTRACTS</u> (Records Relating to Construction Bidding Information Payment Requisitions Change Orders Submittals Progress Meetings Correspondence) | Retain in original form for 2 years following completion of project; then screen to remove that material for which no further reference is required. Remaining material having continued reference value to be microfilmed or kept in paper form by Office of Record for 25 years in an archives; then, destroy. (Refer Note 2, page 31) | Center Operations Facilities Management |
| 202 | <u>BUILDING PROJECT FILES</u> (Includes planning information relating to utilization of newly constructed and/or leased buildings; such as, space classifications, facilities utilization, leases, progress reports, revised programs and projections, and State agency/University correspondence.) | Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. (Refer Note 2, page 31) | Center Operations Facilities Management |
| 203 | <u>PROPERTY AND BUILDING FILES</u> (Includes material relating to the purchase of selective property, and the construction, renovation and improvement of buildings such as correspondence, reports, memoranda, cost estimates, accounts, appraisals and negotiation agreements.) | Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. (Refer Note 2, page 31) | Center Operations Facilities Management |
| 204 | <u>PHYSICAL PLANT FILES</u> | | |
| 204.1 | Energy reports | Retain for 3 years; then, microfilm for 25 year retention. | Facilities Management |
| 204.2 | Inventory | Reference only - See Ctrl #502. | Financial Affairs |

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| 204.3 | Bond Funds | Reference only - See Ctrl #512 | Financial Affairs |
| 204.4 | Plant Funds (Includes requisitions/orders.) | Retain 5 years or until audit needs have been fulfilled; then, destroy. | Facilities Management |
| 204.5 | Less Than 15-Yr Life Files (Includes requisitions/orders.) | Retain for life cycle plus 5 years or until audit needs have been fulfilled; then, destroy. | Facilities Management |
| 204.6 | Vehicle Records (Includes the following: | | |
| | Vehicle Acquisition & Disposal Reports | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Facilities Management |
| | Vehicle Mileage Reports | Retain for life of vehicle, then destroy. | Facilities Management |
| | Vehicle Records (Titles,etc) | Retain for life of vehicle, then destroy. | Facilities Management |
| | Fleet Reports(including safety/accident reports) | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Facilities Management |
| 204.7 | Telephone Records | Reference only - See Series 1200 | Information Technology |
| 204.8 | Work Orders | | |
| | Master Log | Retain for 3 years; then, microfilm for 25 year retention, then destroy. | Facilities Management |
| | Routine Maintenance Work Orders | Retain 3 years for self support area; and 1 year for regular routine work orders; then, destroy. | Facilities Management |
| | Non-routine Maintenance Work Orders | Retain for as long as building is in use, then destroy. | Facilities Management |

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| 204.9 | Key Material | | |
| | Signature Number Cards and Record Books | Retain for 3 years; then, microfilm for 25 year retention, then destroy. | Conference Center Management |
| | Key Authorization Forms | Retain for 1 year or until audit needs have been fulfilled; then, destroy. | Conference Center Management |
| | Key Record Cards | Retain until return of keys; then, destroy | Conference Center Management |
| 204.10 | Budget Related Material | Reference only - See Ctrl #510. | Financial Affairs |

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300 Series - DATA PROCESSING FILES

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| 301 | <u>DATA PROCESSING-PROGRAM LIBRARY</u> (Includes documentation for computer programs used in information management, such as; flow charts, narratives, machine lists, operating instructions, contracts and supporting correspondence.) | Retain for that period of time for which the computer program remains in use, then destroy. | Information Technology |
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400 Series - Environmental Safety

401 HAZARDOUS MATERIAL AND ENVIRONMENTAL SAFETY FILES

Consists of reports and other pertinent material related to asbestos, laboratory safety (including laboratory training files, inventory records, laboratory survey records, Rad user authorization, etc.), biohazard safety, lead safety, assurance of hazardous procedures, motor vehicle accident claims, accident training and investigation, incidence reports, permits, hazardous waste, radioactive waste, industrial hygiene, PCG transformer information, facility permits, civil defense material, and any other material relating to the above for which University College is the Office of Record.

Retain material permanently either on microfilm or in paper form.

Facilities Management

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| 500 Series - FINANCIAL FILES | | | |
| 501 | <u>ACCOUNTING RECORDS</u> (Includes all standard State accounting forms as well as other accounting media which provide support data for the special and general accounting records). <u>Special Accounting Records</u> | | |
| 501.1 | Books of Final Entry | Retain 3 years; then, microfilm for permanent retention. | Financial Affairs |
| 501.2 | General Ledgers | Retain 3 years; then, microfilm for permanent retention. | Financial Affairs |
| 502 | <u>Budget and Fiscal Planning Records</u> Budget Estimates Budget Schedule Amendment Materials and Supplies Physical Inventory and Building Inventory Report of Fixed Assets Report of Materials and Supplies Request for Position Action | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 503 | <u>Payroll Accounting Records</u> Employee Roster Card File Payroll and Check Register Payroll Exceptions Time Report Payroll Transmittals Payroll Warrants | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs Personnel Services |

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| 504 | <u>Payroll Records</u> Journals One Pay Certification Cards Master Exceptions Check Register W2 Labor Savings Bond Material Journal Vouchers, Payroll Transfers, and Other Forms of Internal Adjustment | Retain 3 years and until audit needs have been fulfilled; then, destroy. NOTE: Annapolis is the Office of Permanent Retention. | Financial Affairs Personnel Services |
| 505 | <u>Miscellaneous Accounting Records</u> Alpha Vendor Files Bad Check Records* Bank Books, Statements and Deposits Budget Papers and Work Sheets Cashier's Report Cash Receipts Cancelled Checks, Check Copies & Stubs Certificate of Deposit (State Treasurer) Condemnation Reports Disbursement Voucher files Delivery Orders and Receipts Financial Aid Records** Gas Withdrawal Tickets and Mileage Insurance Correspondence Mail Remittance List Memorandum Receipt and Property Off-campus Accounts, bills, etc.* Paid Bills and Invoices Paid Bonds and Coupons Periodic Financial Reports Parking Registration Receipt Copies and Stubs Receiving Reports Reconciliation and Trial Balance Sheets Renewable Licenses Reports | Retain 3 years and until audit needs have been fulfilled; then, destroy. * Unless involved in collection effort. ** See Academic/Student Files for more information. | Financial Affairs |

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| | Requisitions and Purchase Orders Stock Record Cards Student Accounts* & ** Scholarship Account Cards, Records, etc. Withholding Tax Forms and Statements (Local, State and Federal Agencies) Working Fund Records | | |
| 506 | <u>Special Payments File</u> (Consists of documents which show honorarium payments to non-employees. The file also includes the request form, documentation supporting the payment/contract to pay). | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 507 | <u>Revolving Fund Records</u> (Computer produced reports which show a listing of funds deposited and withdrawn from the revolving fund. | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 508 | <u>Checkbook/Stubs</u> (Maintained to verify payment of certain bills and accounts.) | Retain 3 years; then, microfilm for 25 year retention, then destroy. | Financial Affairs. |
| 509 | <u>GRANTS/CONTRACTS</u> (Includes records that document grants and/or contracts received from any source such as, applications, proposals, agreements, research reports, publicity notices, acknowledges and transfer of funds records, controlling rules and regulations, copies of periodic reports, correspondence and memoranda.) | Retain <u>State</u> contracts/grants for 3 years following termination date; then, destroy. Retain <u>Federal</u> contracts/grants for 3 years following termination date; then, destroy if under \$25,000. Retain for 6 years, 3 months following termination date; then destroy if \$25,000 or more. | Financial Affairs. |

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| 510 | <u>BUDGET RECORDS</u> (Includes official budget request documents, budget instructions, CPS requests, Capital Budget requests, and related material.) | Retain 3 years and until audit needs have been fulfilled; then, destroy. NOTE: CPS and Capital Budget related documents from each institution are retained permanently on microfilm by UMSA. | Financial Affairs. |
| 511 | <u>AUDITS</u> Legislative Audit Files Internal Audit Files | Retain 10 years; then, destroy. | Financial Affairs |
| 512 | <u>BOND RECORDS</u> Bond issue agreements Indentures Certificates Requisitions Bank statements | Retain 5 years after life of bond and until audit needs have been fulfilled; then, destroy. | Financial Affairs |

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| 600 Series - FUND RAISING, ALUMNI, ENDOWMENTS, RESEARCH AND DEVELOPMENT FILES | | | |
| 601 | <u>DONOR (GIFT) FILES</u> (These are records that reflect name, date, amount, receipt and account number, related data(including gift envelope and receipt), on all gifts donated to the University by friends, alumni, corporations, associations, or foundations.) | Retain gift envelope until audit needs have been fulfilled; then, destroy. Remaining material having historical value to be micro-filmed for permanent retention. | Institutional Advancement |
| 602 | <u>ENDOWMENT FUND RECORDS</u> (Includes ledgers, journals, vouchers, bank statements, reports to the Regents and dividend reports that document endowment fund transactions. Includes Endowments for the Humanities (both MD and National)). | Retain permanently in microfilm or paper form. | Institutional Advancement |
| 603 | <u>CAPITAL CAMPAIGN</u> | Retain permanently in microfilm or paper form. | Institutional Advancement |
| 604 | <u>SPONSORED PROGRAMS</u> (Specifically U.S. Government, Title III and Grants) | Refer to retention policy for GRANTS/CONTRACTS(Ctrl #509, above). | Financial Affairs |
| 605 | <u>ALUMNI FILES</u> (Includes general correspondence, events and project files, reunion files, newsletter, and alumni cultivation files.) | Retain 1 year; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for 25 year retention, then destroy. | Institutional Advancement |

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| 700 Series - LIBRARY RECORDS RETENTION AND DISPOSAL STANDARDS | | | |
| 701 | <u>SPECIAL PROJECT FILES</u> (Contains correspondence, records of negotiation, legal agreements and working papers relating to efforts to preserve certain "collections" **). ** List each collection separately under special projects. | Screen annually and destroy material for which no further reference is required. Material having continued historical value to be retained permanently in institutional archives*. *or State archives if institution does not have appropriate archival facilities. (Refer Note 2, page 29) | Library Services |
| 702 | <u>DONOR FILES</u> Correspondence, gift agreements, collection inventories, processing notes, publicity materials, and working papers documenting the gift of library materials by outside donors t units within the Library system. | Retain permanently in library unit* in paper form. *or State archives if appropriate archival facilities not available. | Library Services |
| 702.1 | Research notes, correspondence, and copies of gift receipts relating to gifts to the library. Includes files on individual donors, special projects, and prospective donors. | Retain for ten (10) years after file is declared inactive, then destroy. | Library Services |
| 703 | <u>INTERLIBRARY LOAN</u> | | |
| 703.1 | Off-campus Borrowing requests generated to borrow books and photocopies of journal articles from off-campus sources. | Retain for three (3) years, then destroy. | Library Services |
| 703.2 | Non-campus Requests by non-campus borrowers to borrow books and copies of journal articles owned by campus library. | Retain for three (3) years and until all audit requirements are met, then destroy. | Library Services |

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| 704 | <u>INFORMATION TECHNOLOGY</u> | | |
| 704.1 | System-wide Log Records listing dates of system-wide backups of the library's databases and indicating which backup tapes were used. | Retain until tapes are re-used. *Tapes are not destroyed; information is erased as tapes are used over and over. | Library Services |
| 704.2 | Tape Backup Records Lists of disk files copied onto each backup tape. | Retain for one (1) month or until tape is re-used, then destroy. | Library Services |
| 704.3 | Shift Log Summary and highlight of system problems reported that may continue over more than one operator's shift. | Retain for six (6) months, then destroy. | Library Services |
| 704.4 | Problem Reports Records of open and closed problems with the library's CARL (Colorado Alliance Research Libraries)* on-line cataloging system reported by all library sites. *UMUC uses the VICTOR system, a component of CARL. | Retain in electronic form until no longer needed, then destroy. Retain paper copies for two years. | Library Services |
| 705.5 | Operator Logs Record of system operators' daily activities, including routine operational tasks, system problems, and any non-routine occurrences. | Retain for six (6) months, then destroy. | Library Services |
| 705.6 | Transaction Logs Records of interactions of patrons and piece(s) of library material, including financial transactions and borrowing or returning items. <u>Usually maintained in online electronic form, as tape backups, and on microfilm.</u> | Retain in online electronic format for three years. Then transfer to tape backup. Retain electronic tape backups in Information Technology until no longer needed, then reuse. Retain in computer generated microfiche/microfilm form for three years or until all audit requirements are met, then destroy. | Library Services |

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| 706 | <u>CIRCULATION AND RESERVES</u> | | |
| 706.1 | Billing Records Correspondence regarding billing questions and problems, copies of bills and invoices, and reports of billing status, for overdue fines, library materials' replacement costs, and other library charges against patrons' accounts. | Retain for three (3) years and until all audit requirements are met, then destroy. | Library Services |
| 706.2 | Patron Registration Names and addresses of library borrowers; initially maintained in paper form, then entered into automated library system. | Retain paper copies for six (6) months, then destroy. Retain information on active borrowers in automated system on a perpetual basis, then destroy as borrowers become inactive. | Library Services |
| 706.3 | User Notices Copies of recall, availability, and overdue notices sent to library patrons. | Retain for three (3) years and until all audit requirements are met, then destroy. | Library Services |
| 706.4 | Collection Information Reports Reports listing temporary conversion records (TCR) created and books identified as missing. | Retain TCR reports for one (1) month or until online record appears, then destroy. Retain missing book reports for one (1) year, then destroy. | Library Services |
| 706.5 | Manual Charge Slips-Reserves Records of items on reserve charged out manually to library patrons. | Retain for one (1) month, then destroy. | Library Services |
| 706.6 | Faculty Lists-Reserves Lists of materials that faculty member have requested to have held on reserve. | Retain for two (2) years, then destroy. | Library Services |
| 706.7 | Statistics Printouts Computer-generated printouts of circulation statistics, reserves processing, holds, reclass, temporary conversions, tracers, and claims returned, including transaction logs and "snapshots". | Retain for one (1) year, then destroy. | Library Services |

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| 706.8 | Traffic Reports Records of hourly exit turnstile counts. | Retain current year plus one (1) year, then destroy. | Library Services |
| 706.9 | Computer Downtime Log Record of downtime for automated circulation system; includes notations of time system went down, time operations resumed, and reason for downtime. | Retain for one (1) year, then destroy. | Library Services |
| 707 | <u>SEARCH FILES - ELECTRONIC REFERENCE</u> These files contain search requests, statistics, and billings for searches performed by Electronic Reference Services unit. | Retain for three (3) years and until audit requirements are met, then destroy. | Library Services |
| 708 | <u>PRESERVATION TREATMENT WORK FORMS</u> Records of routine preservation treatments performed on library materials, such as rebinding, reformatting or enclosing. | Retain for one (1) year, then destroy. | Library Services |
| 709 | <u>SPECIAL COLLECTIONS USE</u> | | |
| 709.1 | Sign in sheets, addresses, status of each individual using special collections material. | Retain for seven (7) years, then destroy. | Library Services |
| 709.2 | Copies of call slips used by patrons to request materials held by rare books department. | Retain for seven (7) years, then destroy. | Library Services |
| 709.3 | Forms signed by researchers indicating that they will abide by rules established for use of primary source/original materials; including user's name, address, and ID number. | Retain permanently in library units in paper form. Transfer periodically to archives. | Library Services |
| 709.4 | Records of manuscript materials, photographs, and memorabilia which have been requested for use by patrons (This is a permanent record of usage maintained for security and copyright purposes). | Retain permanently in library unit in paper form. Transfer periodically to archives. | Library Services |

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| 710 | <u>PHOTOCOPY CENTER</u> Reports listing beginning and ending readings, total meter copies, money collected, differences between meter reading and money collected for each copier, deposits and income reports, completed requests for photocopying services performed by performed by the photocopy center, reports of cash income. | Retain for three (3) years or until all audit requirements are met, then destroy. | Financial Affairs |

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800 Series - PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS)

This series applies to Departments of Personnel within Maryland State Government and includes all standard personnel forms as well as other personnel media which provide supporting data for both special and general personnel records.

801 PERSONNEL FOLDERS

Upon selection for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personnel folder is prepared. This folder may contain all or some of the following documents.

- Application
- Appointment Letter
- Correspondence Relating to New Appointments
- Personnel Payroll Form
- Personnel Position Action Request
- Personnel Recruitment Screening Report
- Personnel Transaction Form
- Retirement Form

Retain for three (3) years following termination of employment; then, destroy.

Personnel Services

During continued employment, the folder may contain the following:

- Change of Address Forms
- Clearance File
- Charges for Removal
- Commendations
- Contractual Employment
- Counseling Sessions
- Disciplinary Actions
- Efficiency Ratings
- EOE Statistical Reports
- General Correspondence

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| | <ul style="list-style-type: none"> Grievance Actions Health Insurance Benefits Form Leave Form Orientation Program Position History Probation Promotions Reclassification Resumes Suggestion file Summer Employment Suspension Actions Training | | |
| | <p>The final documents in the folder are a personnel payroll form and the following:</p> <ul style="list-style-type: none"> Letter of Resignation Retirement Transfer Dismissal | | |
| 802 | <p><u>PERSONNEL I.D. NUMBER (KNOWN AS PIN FOR FORMER BTSUC INSTITUTIONS AND STUDY NUMBERS FOR FORMER UNIVERSITY OF MARYLAND INSTITUTIONS)</u></p> | <p>Retain permanently in paper form or microfilm.</p> | <p>Personnel Services.</p> |
| 803 | <p><u>STATUS CARD FILE</u></p> | <p>Retain 5 years; then, destroy.</p> | <p>Personnel Services.</p> |
| 804 | <p><u>HISTORY CARD</u> Upon being selected for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personal history card is prepared.</p> | <p>Retain for three (3) years following termination of employment; then destroy.</p> | <p>Personnel Services.</p> |
| | <p>This card contains the following data:</p> <ul style="list-style-type: none"> Name Address Social Security Number | | |

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| | <p>Telephone Number Race Sex Birth Date Increment Date EOD (Entry on Duty) Date Classification Effective Date of Classification Employment Status Salary Position Identification Number for Employee</p> <p>Each reclassification, promotion, demotion, change in salary, extended probation, title change, change of address or telephone number is duly noted on the card. The last entry on the History card would be one of the following:</p> <p>Resignation Retirement Transfer Dismissal Expiration</p> <p>The card would then be filed inside the personnel folder and filed in the inactive personnel file.</p> | | |
| 805 | <u>WORKER'S COMPENSATION FIRST REPORT OF INJURY REPORTS</u> | Retain 5 years; then, destroy. | Personnel Services |
| 806 | <u>PART TIME QUARTERLY REPORTS</u> | Retain 5 years; then, destroy. | Personnel Services |
| 807 | <u>ANNUAL REPORTS</u> | Retain 5 years; then, destroy. | Personnel Services |
| 808 | <u>DEPARTMENT BUDGET REPORTS</u> | Retain 5 years; then, destroy. | Personnel Services |

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| 809 | <u>GRIEVANCE MATERIAL</u> | Retain until grievance has been completely adjudicated; then, microfilm for permanent retention. | Personnel Services. |
| 810 | <u>SAVINGS BOND CAMPAIGN</u> | Retain 3 years; then, destroy. | Personnel Services. |
| 811 | <u>TIME SHEETS</u> | Retain 3 years and until audit needs have been fulfilled; then, destroy. Exception: If employee is terminated, retain last time sheet (or computer leave printout, if more accurate) for 3 years following termination date; then, destroy. | Personnel Services. |
| 812 | <u>EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION</u> | Retain 5 years; then, destroy. | Personnel Services. |
| 813 | <u>SEARCH COMMITTEE FILES</u> (Pertains to recruitment/selection of President only.) | Microfilm material legally required and retain permanently. (e.g., advertisements, committee recommendations and voting and top candidate resumes). | Personnel Services. |

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| 900 Series - PROCUREMENT RECORDS FILE | | | |
| 901 | <u>PURCHASING RECORDS</u> (Including the following: | | |
| | Actual Emergency and Repair Reports | Retain for five years and until audit needs have been fulfilled; then destroy. | Procurement Department (except files identified with asterisk[*]). |
| | Advertising and Bids | | |
| | Agency Inter-Office Requisitions | Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above). | Financial Affairs. Financial Affairs. Financial Affairs. |
| | Bid and Quote Files | | |
| | Bid Tabulation Records | | |
| | Copy of Contracts Awarded | | |
| | Credit Memoranda | | |
| | *Inventory Dispositions | | |
| | *Invoices/Expenditure Transfer Authorizations | | |
| | *Issue Tickets or Receipts | | |
| | Materials/Supplies Specifications | | |
| | Monthly Expenditure Printouts | | |
| | Notice of Award of Contracts | Financial Affairs. | |
| | Unscheduled Requisitions for Supplies | | |
| | *Packing Slips, Shipping Tickets, Bills of Lading | | |
| | Purchase Orders | | |
| | Purchasing Register | | |
| | *Receiving Reports | | |
| | *Report of Delivery/Partial Delivery | | |
| | *Requisition Forms, Miscellaneous | | |
| | Requisitions for Supplies | | |
| | Warehouse Requisitions | | |
| | Automation Management Reports | | |
| 902 | <u>VENDOR LIST</u> | Retain until superseded, then destroy. | Financial Affairs. |

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| 903 | <u>CORRESPONDENCE</u> | Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for permanent retention. | Procurement Department. |
| 904 | <u>CONTRACTS/GRANTS</u> | Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above). | Procurement Department. |

**UNIVERSITY OF MARYLAND UNIVERSITY COLLEGE
RECORDS RETENTION AND DISPOSAL SCHEDULE**

1756

| Ctrl No. | Description | Retention Policy | Office of Record |
|---|---|--|-------------------------|
| Series 1100 - STUDENT/ACADEMIC RECORDS RETENTION STANDARDS | | | |
| 1101 | <u>UNDERGRADUATE STUDENTS</u> | | |
| 1101.1 | Academic Records (Transcripts) | Office of Record (Registrar's Office) to retain these records permanently (Make determination to microfilm, etc. or retain in original paper form. This must be stated in records disposition schedule). | Student Services |
| 1101.2 | Student Folders Contains high school transcripts, admission material pertinent to student admission, transcripts from other colleges, change of major forms, change of address, application for diplomas, application for admission to college, other miscellaneous materials deemed necessary. | Office of Record (Registrar's Office/ Admissions Office) to retain records for five (5) years for undergraduate non-graduates and ten (10) years for undergraduate graduates, then destroy. | Student Services |
| 1101.3 | Provisional Advanced Standing Sheets for Transfer Students | Admissions Office to retain permanently either on microfilm or in paper form. | Student Services |
| 1101.4 | International Student Folders; undergraduate student residency folders; Control Cards; predicted average cards; and transfer student requests to study at another institution. | Retain for ten (10) years, then destroy. | Student Services |
| 1101.5 | Transcript Requests, Registration Forms and Material. | Office of Record to keep for two (2) years, then destroy. | Student Services |
| 1101.6 | College catalogues from creation of institution | Office of Record to retain 25 years, then destroy. NOTE: Copies of each catalogue published by the University must be forwarded to the Office of the Vice Chancellor for Advancement at UM System Admin for permanent retention. | Student Services |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|--|---|-------------------------|
| 1101.7 | New Course Material | Registrar's office to retain 5 years, then destroy. | Student Services |
| 1101.8 | Budget/Accounting Files connected with undergraduate student matters. | Retain 3 years or until audit needs have been fulfilled, then destroy. | Student Services |
| 1101.9 | General Correspondence relating to undergraduate student matters | Refer to retention policy for GENERAL FILES(Ctrl #101). | Student Services |
| 1101.10 | Counseling Files connected with undergraduate or graduate students. These include locator cards and record sheet on visits. | Office of Record to retain 7 years following graduation or departure; then, destroy. | Student Services |
| 1101.11 | Health-related files (Includes patient charts, lab and x-ray reports, hospital visits, allergy schedule, and health history, records of visits, etc.) | Retain 5 years following last visit; then, destroy. | Student Services |
| 1101.12 | Quality Assurance Information (Lab Work) | Retain 7 years; then, destroy. | Student Services |
| 1101.13 | Health Fees and related services | Retain 3 years or until collection is complete, and until audit requirements have been fulfilled, then destroy. | Student Services |
| 1101.14 | Financial Files (Includes the following: Statement of Fees Cash Receipts Certificates of Deposits Credit Card Receipts Refund Request Vouchers Library Adjustments Paid Deferred Payment Contracts Paid Company Contracts Paid Collection Accounts Tuition Calculation Reports Purge Reports Cashier Summary Reports | Retain 5 years or until audit requirements have been fulfilled; then, destroy. | Student Services |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|---|--|-------------------------|
| | Drop/Add Reports Paid Parking Reports Paid Health Insurance Reports) | | |
| 1101.15 | Financial Aid Files (Includes the following: | | |
| | Applications/FAF's Pell SAR Perkins Loan (NDSL, Guaranteed Student Loan Applications) Check Release Contracts Book Coupons Control Cards Confirmation Reports Merged Reports Batch Transmittals Fiscal Operations/Application Reports) | Retain 5 years after student ceases to be active, or until audit requirements are complete; then, destroy. | Student Services |
| 1101.16 | Unsatisfied Financial Accounts (Includes the following: | | |
| | Unpaid Perkins Loan Files Unsatisfied Checks Unpaid Deferred Payment Contracts Unpaid Company contracts Unpaid Collection Accounts | Retain until account is satisfied and all audit requirements are met, then destroy. | Student Services |
| 1101.17 | Student Housing Contracts | Retain for three (3) years after student leaves, then destroy. | Student Services |
| 1101.18 | Alpha Roster: listing of all students living on campus by semester | Retain for 25 years either on microfilm or paper form, then destroy. | Not applicable at UMUC. |
| 1101.19 | Student Housing Files | Retain for minimum of four (4) years or until student graduates, then destroy. | Not applicable at UMUC. |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|--|--|-------------------------|
| 1101.20 | Applications for admission (including other general correspondence on students who were canceled or denied admission). | Retain for three (3) years after cancellation or denial, then destroy. | Student Services |
| 1101.21 | Student Affairs/Dean of Students | | |
| | Handicapped: accessibility requirements, individual student files, recording for the blind catalogs, Section 504 data, inventory of equipment, etc. | Retain individual student files for four (4) years or for tenure of student, then destroy. Catalogues to be kept until superseded, and inventory to be maintained for three (3) years or until audit requirements are met, then destroy. | Student Services |
| | Student Policies: committee data on policy formation, code of conduct, sexual harassment, and any other policy used for education, implementation and enforcement purposes. | Maintain policies until superseded, then destroy. Only policies having historical value to be kept permanently in paper or microfilm form. | Student Services |
| | Judicial: card index of individual case files, summary reports used for counseling or adjudication of judicial cases of students. | Retain card index for five (5) years (tenure of student) or until judicial adjudication, then destroy. | Student Services |
| | Orientation: programs, procedures, budget data, justification of work, etc. in support of new student and family orientation. | Retain for three (3) years or until audit requirements have been fulfilled, then destroy. | Student Services |
| | Student Organizations: budget data, correspondence, etc. on student organizations used | Retain for three (3) years or until audit requirements have been fulfilled, then destroy. | Student Services |
| 1102 | <u>CREDENTIAL/CAREER PLANNING/PLACEMENT</u> (Repository of records for professional and personal references, records of awards, requests by students and alumni for job purposes. Includes personal information, unofficial grade report, references, evaluations, etc.) | Retain for five (5) years following graduation/ departure of student; then, destroy. | Student Services |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|---|--|-------------------------|
| 1103 | <u>GRADUATE STUDENTS</u> | | |
| | NOTE: There are general areas under <u>UNDERGRADUATE STUDENTS</u> (Ctrl #901) that will also apply to Graduate Students files. | | |
| 1103.1 | General Files (Includes applications and supporting correspondence/documents.) | Retain 10 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy. | Graduate School |
| 1103.2 | Grade Documentation (Final semester printout) | Retain permanently in paper or microfilm form. | Graduate School |
| 1103.3 | Course Approval Cards, Intercampus Forms (transfer from other campuses), Adds/Drops | Retain 7 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy. | Graduate School |
| 1103.4 | Registration Forms | Retain 3 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy. | Graduate School |
| 1103.5 | Billing material, Cashier's Remittances Refunds, Bill Authorizations, etc. | Retain 3 years or until all audit needs have been fulfilled; then, destroy. | Graduate School |
| 1103.6 | Student Statistics | Retain 5 years; then, destroy. | Graduate School |
| 1103.7 | Graduate Faculty Meeting Files (Includes minutes and general papers, includes Senate meetings with minutes). This would apply to undergraduate faculty meetings and files also. | Screen and retain minutes having historical value permanently on microfilm or in paper form. All other material, retain for five (5) years, then, destroy. | Graduate School |
| 1103.8 | Graduate Faculty <u>Resume</u> Only File | Retain for (5) years; then, destroy. | Graduate School |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|--|--|---|
| 1103.9 | Faculty Research Awards and Faculty Fellowships | Retain for three (3) years following termination or until audit requirements have been fulfilled, then destroy. | Graduate School |
| 1103.10 | Graduate Course Schedules, Audit Trails, Section Lists, Printouts on Registration | Retain for seven (7) years, then destroy. and Paid Bills or Students | Graduate School |
| 1103.11 | Theses | Retain permanently in original form. | Graduate School |
| 1104 | <u>GENERAL ACADEMIC FILES</u> | | |
| | NOTE: The Office of Personnel/Human Resources on each campus is Office of Record for all personnel files. (Refer to PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS), 800 Series, above). | | |
| 1104.1 | Faculty APT (Appointments, Promotions and Tenure Files) | Retain all APT files dated April 5, 1989 and later permanently either on microfilm or in hard copy. | Undergraduate Programs Graduate School |
| | | NOTE: Office of Academic Affairs in the Chancellor's Office is Office of Record for period prior to 4/5/89. These files are retained permanently in UMSA archives. | |
| 1104.2 | Advisory Council Files (Councils and other bodies which serve an advisory capacity to Chancellor, Presidents, etc. Files consist of original of minutes and related records of proceedings and reports). | Retain policy items until superseded. Policies and minutes having historical value, retain permanently on microfilm or in paper form. | Office of the President. |
| 1104.3 | Academic Program Files (Records relating to programs either proposed by System institutions or adopted by the BOR). | Office of Academic Affairs at UMSA to retain permanently on microfilm in UMSA archives. | UMSA Academic Affairs |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|--|---|--|
| 1104.4 | Board of Regents/Board of Trustees Files (Include the original as well as copies of meeting minutes, committee reports, correspondence, memoranda, notes, agendas and general background material as a result of meetings and related activities of Board of Regents and former Board of Trustees. | Chancellor's Office at UMSA keeps BOR and BOT minutes and other official Board records prior to July 1, 1981 in UMCP archives in hard copy. Material After 1981 is kept in UMSA archives in hard copy form. | UMSA Archives |
| 1104.5 | Middle State Association/Southern Regional Education Board (Official reports and related materials of accrediting agencies concerning UMSA institutions and programs). | Office of Academic Affairs at UMSA microfilms all reports or correspondence of historical value for permanent retention in UMSA archives. | UMSA Archives |
| 1104.6 | State Board for Higher Education and MHEC (Board and committee meeting minutes and related material which established policies affecting the System). | UMSA screens annually and destroys material no longer affecting the System. General Administration, UMSA, will retain historical material on financial matters and Academic Affairs, UMSA, will retain historical material on academic matters for permanent retention. | UMSA General Administration UMSA Academic Affairs |
| 1104.7 | President/Chancellor Files (Historical) (These files are subject oriented to the programs and projects of former System Administration Presidents/Chancellors from 1917 to present). | Applies specifically to System Administration but would apply to what to do with similar material on current Presidents at institution UMSA Chancellor's office screens and destroys routine correspondence, duplicate and information copies, and related papers not needed to document an action. Historical files dated 1917 to 1988 are microfilmed and deposited in UMCP archives. Material after 1988 is microfilmed and placed in UMSA archives for permanent retention. | Office of the President UMSA archives |
| 1104.8 | Bookstore/Textbook Related Material Textbooks Adoption Form - a listing of textbooks used for each course. | Retain for six (6) years, then destroy. | Graduate School Undergraduate Programs |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|--|---|--|
| | Books in Print - a listing of all publications currently being published. | Microfisch annually, as new editions are published. Keep permanently on microfisch. | Graduate School Undergraduate Programs |
| | Wholesaler Buying Guide | Microfisch bi-monthly. Keep permanently on microfisch. | Graduate School Undergraduate Programs |
| | Medical Book Distribution Index | Microfisch monthly. Keep permanently on microfisch. | Graduate School Undergraduate Programs |
| | Faculty Charge Forms and In-House Charge Forms - lists of charges made by staff members or individual departments including signed authorization forms and work orders. | Retain three (3) years or until audit requirements are met, then destroy. | Graduate School Undergraduate Programs |
| 1104.9 | Departmental Meeting Minutes (Includes Dean's Office, etc.). Minutes concerning day-to-day decisions made at UMUC. These minutes are not BOR minutes, which are kept permanently at UMSA. | Retain 3 years; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be kept for 25 years, then destroyed.* | <u>All</u> Departments. * These are not the Board fo Regents minutes which are kept permanently at UMSA. These are minutes which do not contain permanent policy or historical items. |
| 1104.10 | Faculty Evaluations | Retain 2 years beyond termination of faculty member; then, destroy. | Graduate School Undergraduate Programs |
| 1104.11 | Course Final Exams, Course Descriptions and Grade Rosters | Retain for 25 years (either paper or microfilm), then destroy. | Graduate School Undergraduate Programs |
| 1104.12 | Library Technical Record Files (Includes Card Catalog, Shelf List, Acquisition Files, Serial Record Files, Documents Files, Withdrawal Files, Circulation Registration Files.) | Retain for 25 years (either paper or microfilm), then destroy. | Library Services Graduate School Undergraduate Programs |
| 1104.13 | College Archival Files (Includes files for former Presidents, Board of Regents, etc.). | Retain permanently only material of historical value. | Graduate School Undergraduate Programs |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-----------------|---|---|-------------------------------------|
| 1104.14 | Academic Press/Sports Releases | Retain for 25 years (either paper or microfilm), then destroy. | Office of Institutional Advancement |
| 1104.15 | Food Service (Includes meal card information, snack bar, dining hall, etc., daily cash reports, and catering records, stockroom inventory, contracts on food and supplies). | Retain for three (3) years or until audit requirements are met, then destroy. | Center Operations |

Series 1200 - Telecommunications/Communications

1201 Communications Material

| | | | |
|--------|---|--|------------------------|
| 1201.1 | FCC License Application for Public Radio Station Grant Proposals | Retain for 25 years (either paper or microfilm), then destroy. Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above). | Information Technology |
| 1201.2 | Interagency Telephone Invoices | Retain for three (3) years, then destroy. | Information Technology |
| 1201.3 | C&P Reports detailing all equipment rented by College | Retain for three (3) years, then destroy. | Information Technology |

- SPECIAL NOTICES:**
- 1) **UNTIL AUDIT REQUIREMENTS ARE MET MEANS THREE YEARS FOR STATE RELATED DOCUMENTS, THREE YEARS FOR NON-MONETARY FEDERAL RELATED DOCUMENTS, THREE YEARS FOR MONETARY FEDERAL RELATED DOCUMENTS UNDER \$25,000, AND 6 YEARS, 3 MONTHS FOR MONETARY FEDERAL RELATED DOCUMENTS OVER \$25,000.**
 - 2) **IF UNIVERSITY COLLEGE ARCHIVES ARE NOT AVAILABLE, MATERIAL HAVING PERMANENT RETENTION WILL BE TRANSFERRED TO THE MARYLAND STATE ARCHIVES IN ANNAPOLIS AND MATERIAL HAVING LIMITED RETENTION (I.E. 25 YEARS) WILL BE TRANSFERRED TO THE STATE RECORDS CENTER IN JESSUP.**